

10/559730

AP16 Rec'd PCT/PTO 07 DEC 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Shinichi TSUZAKI et al. : **Mail Stop: PCT**  
Serial No. NEW : Attorney Docket No. 2005\_1946A  
Filed December 7, 2005 :

FLAVONOID SOLUBILIZING AGENT AND  
METHOD OF SOLUBILIZING FLAVONOID  
[Corresponding to PCT/JP2004/008864  
Filed June 24, 2004]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☐ each U.S. Patent and U.S. Patent application publication;
- ☒ each reference previously cited in the international application  
PCT/JP2004/008864; and/or
- ☐ each reference previously cited in prior parent application Serial No.  
\_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the  
above-entitled application, or

ATTACHMENT C

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office (International) search report (in the English language) submitted herewith (Attachment F),
  - c. ☒ the concise explanation contained in the specification of the present application at pages 1, 2 and 4,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

Respectfully submitted,

Shinichi TSUZAKI et al.

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December 7, 2005

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FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: December 7, 2005

ATTY DOCKET NO.  
2005\_1946ASERIAL NO.  
NEW

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APPLICANT  
Shinichi TSUZAKI et al.FILING DATE  
December 7, 2005

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AE	6-197734	07/1994	JP			abstract
	AF	8-317762	12/1996	JP			abstract
	AG	9-117264	05/1997	JP			abstract
	AH	2001-10963	01/2001	JP			abstract
	AI	2003-195	01/2003	JP			abstract
	AJ	2001-192312	07/2001	JP			
	AK	2004-85128	03/2004	JP			
	AL	2004-91392	03/2004	JP			

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AM	Schopke, T. et al., "Effects of saponins on the water solubility of quercetin", <i>Pharmazie</i> , Vol. 52, No. 3, pp. 232 to 234 (1997).
	AN	Walthelm, U. et al., "Effects of saponins on the water solubility of different model compounds", <i>Planta Medica</i> , Vol. 67, No. 1, pp. 49 to 54 (2001).
	AO	Mauri, P. et al., "Electrospray characterization of selected medicinal plant extracts", <i>J. Pharm. Biomed. Anal.</i> , Vol. 23, No. 1, pp. 61 to 68 (2000).
	AP	Gallo, F.R. et al., "Propoli: usi e tecniche di rilevazione", <i>Boll. Chim. Farm.</i> , Vol. 134, No. 9, pp. 483 to 491 (1995).

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include cop, this form with next communication to applicant.